

Progresos en la monitorización del acceso abierto

Perspectiva desde Uni Strathclyde

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A simple concept?

$$\% \text{ Open Access} = \frac{\text{OA publications}}{\text{Total no of publications}} \times 100$$


↑
'easy' bit

← 'hard' bit

























Caveats from the current methodology

- Restricted to Web of Science and Scopus
- No identification of the embargoed items in repositories
- Restricted to items with DOI
- Some identified errors when identifying licenses
- The “Bronze” journals
- Limited accuracy

Institutional % OA availability (2014-2017)

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| | University | | P | P(OA) | PP(OA) | | | | | |
|----|---------------------------|---|-------|-------|--------|--|--|--|--|--|
| 1 | Bilkent Univ |  | 1909 | 1834 | 96.1% | | | | | |
| 2 | Hong Kong Polytech Univ |  | 9911 | 8459 | 85.3% | | | | | |
| 3 | London Sch Hyg & Trop Med |  | 7254 | 6172 | 85.1% | | | | | |
| 4 | Durham Univ |  | 7177 | 5966 | 83.1% | | | | | |
| 5 | Univ Jaume I |  | 2197 | 1822 | 82.9% | | | | | |
| 6 | City Univ London |  | 2569 | 2099 | 81.7% | | | | | |
| 7 | Univ St Andrews |  | 5535 | 4518 | 81.6% | | | | | |
| 8 | Univ Strathclyde |  | 4848 | 3931 | 81.1% | | | | | |
| 9 | Univ Glasgow |  | 11807 | 9391 | 79.5% | | | | | |
| 10 | Univ Leeds |  | 11672 | 9203 | 78.8% | | | | | |
| 11 | Caltech |  | 13529 | 10638 | 78.6% | | | | | |
| 12 | Univ Edinburgh |  | 17828 | 13786 | 77.3% | | | | | |
| 13 | Loughborough Univ |  | 4245 | 3279 | 77.2% | | | | | |
| 14 | Univ Bristol |  | 14235 | 10832 | 76.1% | | | | | |
| 15 | Univ Bath |  | 5139 | 3866 | 75.2% | | | | | |
| 16 | Univ Coll London |  | 35124 | 26419 | 75.2% | | | | | |
| 17 | Univ Leicester |  | 5732 | 4275 | 74.6% | | | | | |
| 18 | Univ Warwick |  | 10384 | 7722 | 74.4% | | | | | |
| 19 | Univ E Anglia |  | 4796 | 3561 | 74.2% | | | | | |
| 20 | Univ Sussex |  | 5338 | 3961 | 74.2% | | | | | |
| 21 | Univ Dundee |  | 3977 | 2947 | 74.1% | | | | | |
| 22 | Cardiff Univ |  | 9872 | 7311 | 74.1% | | | | | |
| 23 | Imperial Coll London |  | 28625 | 21002 | 73.4% | | | | | |
| 24 | Univ Sheffield |  | 12273 | 8982 | 73.2% | | | | | |
| 25 | Lancaster Univ |  | 5785 | 4221 | 73.0% | | | | | |

0% 25% 50% 75% 100%

CWRS Leiden Raking 2019:
Open Access (May 2019),
<https://www.leidenranking.com/ranking/2019/>


Large fraction of Green OA

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University of Strathclyde

Select indicators
Type of indicators:
Time period:


Leaflet | Tiles © Esri — Esri, DeLorme, NAVTEQ

Overview (2014–2017)

| | Size-dependent | | Size-independent | |
|--|----------------|------|------------------|-------|
| Publications | P | 4848 | | |
| Open access publications | P(OA) | 3931 | PP(OA) | 81.1% |
| Gold open access publications | P(gold OA) | 435 | PP(gold OA) | 9.0% |
| Hybrid open access publications | P(hybrid OA) | 807 | PP(hybrid OA) | 16.6% |
| Bronze open access publications | P(bronze OA) | 193 | PP(bronze OA) | 4.0% |
| Green open access publications | P(green OA) | 3860 | PP(green OA) | 79.6% |
| Publications with unknown open access status | P(OA unknown) | 68 | PP(OA unknown) | 1.4% |

Why are UK institutional OA rates so high?

| Research funder | OA flavour | Brief policy description |
|--|--------------|---|
| Higher Education Funding Council for England (HEFCE) | Green | In operation since 01/04/2016 (implemented since 2014 at Strathclyde). Mandatory deposit of full-text accepted author manuscript no longer than three months since manuscript acceptance. Linked to the UK Research Excellence Framework (REF2021) |
| Research Councils UK (UK Research and Innovation since 01/04/2018) | Green & Gold | Mandatory OA availability of funded outputs either via the Green or the Gold OA routes. Block grants delivered to research-intensive HEIs to fund Open Access fees for eligible publications (those that acknowledge RCUK-funded projects) |
| Charity Open Access Fund (COAF): coalition of UK charities led by the Wellcome Trust | Green & Gold | Mandatory OA availability of funded outputs either via the Green or the Gold OA routes. Block grants delivered to research-intensive HEIs to fund Open Access fees for eligible publications (those that acknowledge RCUK-funded projects). Green OA publications need to be deposited in EuropePMC |
| European Commission – FP7 programme | Green & Gold | Mandatory deposit of full-text accepted author manuscript for projects under Clause 39. Gold Open Access funding available for finished FP7 projects under the OpenAIRE FP7 Post-Grant OA Pilot |
| European Commission – H2020 programme | Green & Gold | Mandatory deposit of full-text accepted author manuscript for all H2020 projects (plus associated datasets). Gold Open Access funding may be claimed from project grant |

Table 1. Main Open Access policies by research funders at the University of Strathclyde

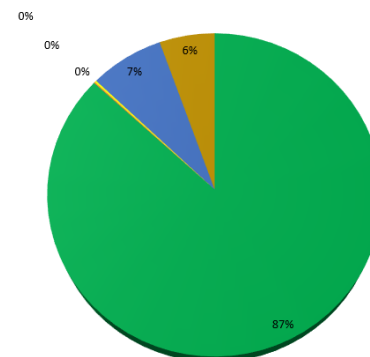
Focus on REF OA policy compliance

| | | |
|----------------------------------|-------------|------------|
| University of Strathclyde | | |
| Compliant | 4669 | 87% |
| AAM & DOA Missing | 6 | 0% |
| DOA Missing | 0 | 0% |
| AAM Missing | 10 | 0% |
| Exceptions | 398 | 7% |
| Ineligible/Non Compliant | 296 | 6% |
| Total Compliance | 5067 | 94% |
| Possible Non Compliance | 16 | 0% |

- Focus on policy compliance poses risk of authors not depositing publications they do not intend to submit for research assessment exercise (REF)
- Deposit upon manuscript acceptance effectively becomes part of the publishing workflow
- Manuscripts where the Strathclyde author is not the corresponding author also need to be chased upon acceptance, offering interesting opportunities for advocacy with authors in other countries (incl Spain). Lead authors abroad usually understand the UK policy and send us the full-text manuscript
- It would be good to see this policy applied in a more widespread way (eg across Europe)

| | | |
|------------|--------------------------|---|
| Key | Compliant | Research Outputs that meet HEFCE open access requirements |
| | AAM & DOA Missing | Accepted Authors Manuscript and Date of Acceptance missing |
| | DOA Missing | Date of Acceptance missing |
| | AAM Missing | Accepted Authors Manuscript missing |
| | Exceptions | Output does not meet requirements - Exception applied to achieve compliance |
| | Ineligible/Non Compliant | Research Output failed to meet HEFCE's requirements - unable to submit to REF |

HEFCE OA COMPLIANCE OVERVIEW



■ Compliant ■ AAM & DOA Missing ■ DOA Missing
■ AAM Missing ■ Exceptions ■ Ineligible/Non Compliant

An attempt to coordinate OA monitoring



Workshop

Open Access Monitoring - Approaches and Perspectives

Report:

A report, summarizing the talks of the the first day as well as the output of the workshop on the second day, can be downloaded here:

- [Report \(AT2OA-OA-Monitoring-Workshop, 2018 04 09\)](#)

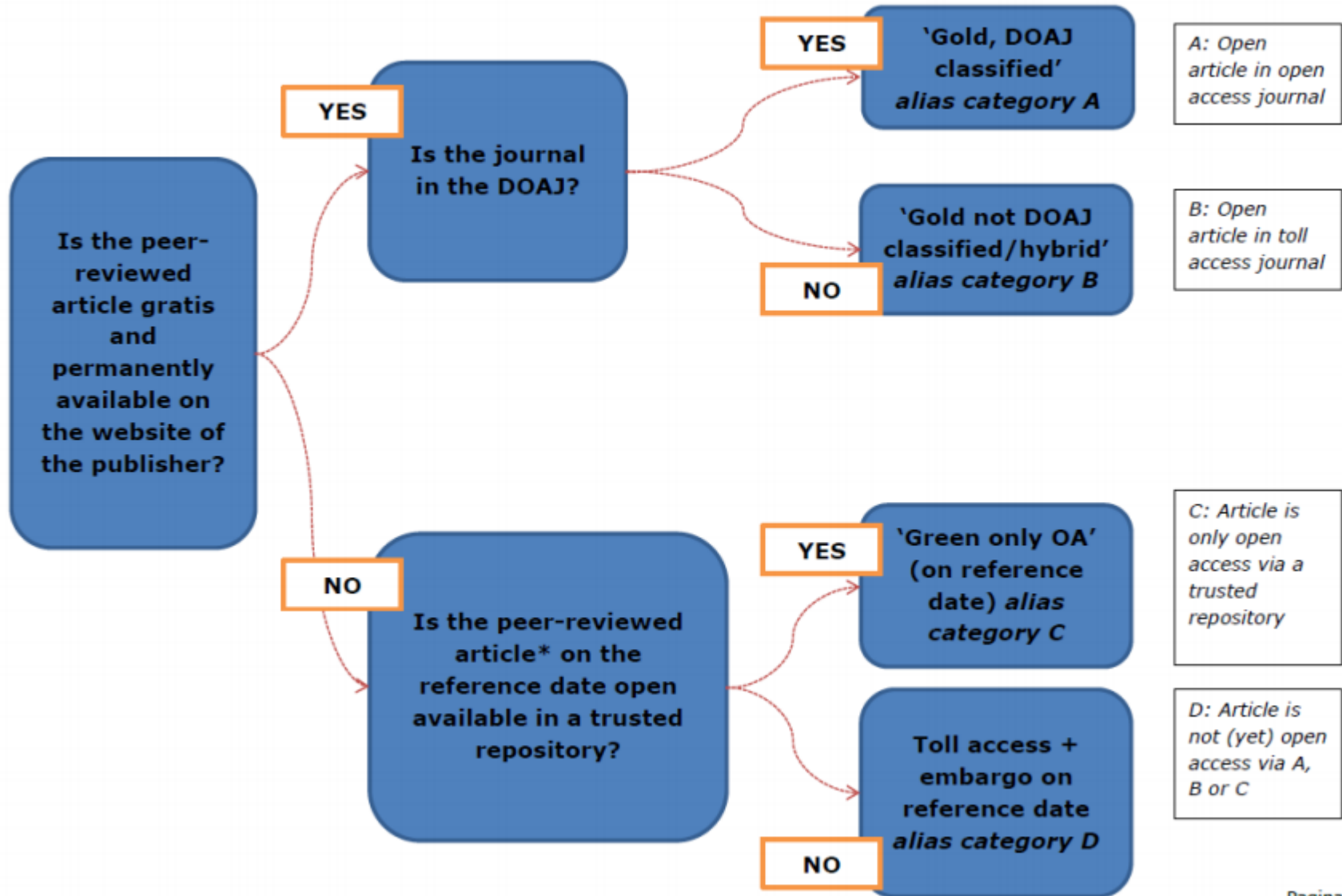
Presentations:

We would like to thank all participants for attending our event!

Please find the presentations below.

- [Just de Leeuwe "Open Access Monitoring in The Netherlands"](#)
- [Camilla Lindelöw "Report from Sweden"](#)
- [Jyrki Ilva "Open Access Monitoring in Finland"](#)
- [Sarah Fahmy "Jisc OA Dashboard"](#)
- [Dirk Pieper "Report from Germany & experiences with the OpenAPC workflow"](#)
- [Pablo De Castro & Jan Dvorak "The possible role of CERIF and CRISs for Open Access Monitoring"](#)
- [Patrick Danowski "OA Monitoring - State of the discussion in Austria"](#)

Scheme 1



* Final author version, postprint, after peer-review (if applicable), publisher version or preprint.

Exclusions content

Delayed OA

traditional subscription-based journals that provide free online access upon the expiry of an embargo period following the initial publication date.

Embargo

Articles can be published under an **embargo**. If so, then the article is not considered OA until the moment the embargo is lifted. This applies to **final author versions (Green OA)** that only become available in the public domain after an embargo period of x months

Permanent; the article is **permanently** available on the website of the publisher

Accepted Author Manuscript

Restricted to Repository staff only until 30 November 2019.

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A few conclusions

- Emerging 'de facto' methodology for measuring %OA availability (albeit with caveats)
- Green OA offers untapped potential when/if coupled to Plan S
- Non-English publications not indexed in international databases and occasionally with no DOIs need to be more closely examined
- The real driver are good Open Access policies: institutions may focus on their implementation and good rates of OA availability at a national level will follow

Thanks!

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